

DEPARTMENT OF CHILDREN AND FAMILIES

Project Quality Assurance and Progress Reporting

For

CT-KIND

Comprehensive Child Welfare Information System (CCWIS)



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**STATE OF CONNECTICUT
DEPARTMENT OF CHILDREN AND FAMILIES
505 Hudson Street
Hartford, CT 06106**

Statement of Work (SOW)

I. STATEMENT OF WORK OVERVIEW:

This document will serve as the Statement of Work (SOW) for the Department of Children and Families (DCF) CT-KIND (Kid's Information Network Database) Project for Project Quality Assurance and Progress Reporting Services for all deliverables and releases. These services are essential to the CT-KIND Project which encompasses the replacement of the current LINK system with a Comprehensive Child Welfare Information System (CCWIS) herein referred to as CT-KIND. Per federal guidelines, these services will not be required to be on-site continuously, but should be on-site at least quarterly. The CT-KIND Project Team is a collaboration between DCF technical and business (social work) staff, which will also include external vendors. DCF is issuing this SOW to establish third party oversight of the project to ensure quality and alignment with the work completed by project member team members and vendor(s), including compliance with federal guidelines, deliverables, timelines, specifications and operational needs throughout system planning, design, development, testing, conversion, implementation, training and initial maintenance.

This work will allow Connecticut to continue with the state's expansion of the human services modernization effort of leveraging technical infrastructure and existing enterprise service infrastructure for integration with CT-KIND, which will be incrementally built on the Microsoft Dynamics Platform, and the sun-setting on LINK. LINK is a PowerBuilder application with a mainframe DB2 database and COBOL batch jobs. LINK will be shut down as functionality and modules are incorporated in the new system. An Agile Lean Software Development Lifecycle approach will be followed to build and enhance business processes over time to provide the best care for the children and families of Connecticut, while complying with mandatory Federal and State reporting requirements.

CT-KIND will provide a user-friendly, easy to navigate and efficient way to record and access information related to Child Protective Services (CPS) work, as well as a complete data collection tool that will capture reported information, assist in the assessment and decision making process, and provide historical retrieval and tracking of outcomes. The CT-KIND application will support six (6) regions comprised of 14 Area Offices with approximately 3, 500 users. As this is an agile project, multiple SOWs will be issued to the established vendor pool as the new system is built, and LINK is shut down, with completion anticipated in 2022. Please refer to **Exhibit G** for more information regarding the components of each SOW, and the Project Roadmap.

This SOW seeks Quality Assurance and Progress Reporting Services to have an independent technical and managerial entity to:

- Ensure the content of the documentation and project deliverables is comprehensive and complete;
- Ensure industry standards and best practices are used;
- Ensure compliance with the Institute of Electrical and Electronics Engineers (IEEE) Standard for Software Verification and Validation (1012-1098) as applicable;
- Evaluate the quality of the deliverables and identify any risks or deficiencies;
- Recommend resolutions to any risk or deficiencies;
- Assess team progress, strengths and weaknesses, and any barriers;
- Identify and recommend process improvements as needed; and,
- Provide project oversight including:
 - Periodic activity reports
 - Risk, deficiency, and issue tracking and recommendations
 - Evaluation of system requirements, testing and verification with associated reports
 - Recommendations for improvements for processes and deliverables

For more information regarding DCF policies and procedures, please go to:

<https://portal.ct.gov/DCF/Policy-Homepage/Home/Legal-Home>

For more information regarding IEEE Standards, please go to:

<https://www.ieee.org/>

II. TECHNICAL OVERVIEW:

CT-KIND will be developed using an Agile methodology, SAFe, starting with CPS Reports and Online Reporting (please refer to Roadmap). The IT infrastructure for CT-KIND has been initiated including the purchasing and set up of the technology stack and system architecture, network, compute, and storage configurations in the Groton and Springfield data centers, as well as appropriate fault tolerant and redundant configurations. This also includes data backups to support a Recovery Time Objective (RTO) of one (1) hour and a Recovery Point Objective (RPO) of thirty (30) minutes, and virtual server provisioning for Microsoft Dynamics, BizTalk, MS SQL, and all other virtual server requirements to support the project. Selected vendor(s) must be familiar with Microsoft Dynamics technology as well as the technology associated to the current LINK system.

The current LINK Data Base Management System (DBMS) consists of:

- An IBM DB2 V10 production database consisting of approximately 600 tables with batch processing comprising over 200 COBOL programs containing 300, 000 lines of code processing the production DB2 tables, as well as internal and external interface files;
- The LINK online PowerBuilder application consists of 450 screens and is installed on approximately 4, 000 PC workstations across the State, which includes approximately 1, 200 front line DCF social workers;
- All DB2 transactions are processed on an IBM 2098-R05 z/OS R1.13 (V10) operating system at the State Data Center located at DAS/Bureau of Enterprise Systems and Technology (DAS/BEST);
- The z10 mainframe has specific CPUs dedicated to LINK and typically processes 30, 000 DB2 enclaves during any 24 hour period; and,
- Availability of the online LINK application and production staff are available 24 hours a day, 7 days a week to support the online system and extensive batch processing, which runs nightly, including weekends and holidays.

The major characteristics of the LINK application include:

- LINK is a centralized DB2 database which, to the extent possible, has been updated and enhanced over the last 22 years to meet reporting and operational needs;
- DCF staff is able to enter, update and view case management data according to the security and access guidelines maintained by the system;
- Due to the challenges with LINK technology, some reporting and operational needs are being addressed outside of the system due to the lack of specific data elements, resulting in ancillary data stores (e.g., MS Access and Excel) to manage the various data elements and structures not present in LINK.

The Provider Information Exchange (PIE), used to assess DCF contracted programs and providers and compliments reporting and operational needs, includes approximately 50% of the intended providers entering data into PIE. The PIE system is hosted and maintained by a third party vendor and is written using C#/.Net Framework and a SQL Server database.

Additionally, data exchanges/interfaces are outlined for the CT-KIND application needed in order to provide an automated solution that provides relevant information to case workers and state agencies/community partners in a seamless manner. These data exchanges will replace the error-prone manual processes with automated processes with the goal of improving data quality and timeliness of data availability. Some of the data exchanges are mandated per the federal CCWIS rules and regulations.

DCF plans to include bi-directional and one-directional data exchanges/interfaces with federal programs, court systems, educational systems, Medicaid claims and other agencies/systems necessary to collect comprehensive data on children and families served by DCF. This will enable improved collaboration among all agency staff, other state agencies and service providers (e.g., other state social service, safety and human

service systems such as Medicaid eligibility/enrollment, children's health insurance, etc.), regardless of location to improve delivery of services to children and families. This will allow authorized providers and community partners the ability access to the system in order to share and receive data, forms, records and client outcomes. This will also reduce or eliminate duplicate data entry to better streamline and coordinate services to families.

The high level technical considerations include, but are not limited to:

- **Data Integration and Interoperability:** CT-KIND will be built using the Microsoft Dynamics platform in conjunction with Biztalk and SSIS so data can be maintained and viewed seamlessly until LINK is fully decommissioned. Additionally, the Careline phone system and online reporting information must be integrated with CT-KIND. The Agile development teams will use methods described in DCF's Twilight Strategy to keep CT-KIND and LINK synchronized while continuing to decommission LINK.
- **Infrastructure:** CT-KIND infrastructure is hosted on VMWare and Windows Server. The current infrastructure for CT-KIND includes the following areas: Development, System Integration, User Acceptance, Staging, Production and Training. Production and Staging environments are identical and have been designed for performance and high availability and automated Disaster Recovery.
- **Security:** As CT-KIND is built, the DCF IT Security Officer will work closely with Team members and vendor(s) to ensure the appropriate tools and measures are taken to ensure data remains confidential and is maintained in a secure environment.
- **Mobility:** CT-KIND will be available to staff remotely. As part of DCF's mobility initiative, additional iPhone 8 (64GB) with unlimited voice, text, data and hotspots, are currently being rolled out to the end users.
- **Data Quality Technology/Tools:** CT-KIND will have additional Master Data Services Management (MDM) and Data Quality Services (DQS) technology to automatically synchronize, search, cleanse and maintain quality data throughout the transition from LINK to CT-KIND in order to maintain the quality and integrity of the data in both systems until LINK is fully decommissioned. Additionally, integration for other tools (e.g., Structured Decision Making (SDM)) will be needed.

III. BUSINESS FUNCTIONALITY OVERVIEW:

The CT-KIND application will provide a functional and technical solution to support DCF's primary and ancillary business functions. DCF staff dedicated to this agile project have developed documentation and artifacts, inclusive of capabilities, features and user stories, to address all areas needed for child welfare. Detailed business process flows were also developed along with all module requirements. Due to a shift in practice and the use of an Agile methodology, this section includes outlines for designated modules for each functional area, however, some modules may have dependencies and the outlined modules may be completed in one or more development cycles and subsequent SOWs:

A. *Careline:* The Careline module within CT-KIND will continue to determine the acceptance or non-acceptance of different types of reports/requests, and forward the accepted work to the appropriate area office, which will be automated, as opposed to the current manual assignments. There will also be the ability to make online reports to the Careline (a current pilot is being planned). The Careline staff is the first contact a caller has with the agency and is a 24-hour, 7-day-a-week operation, and determines whether a case is a Family Assessment Response (FAR) or a traditional investigation per the Differential Response System (DRS) model. The Careline also responds to after-hours investigations in case of an emergency, and when an immediate response is needed. The after-hours primary investigator or an on-call worker will utilize mobility features of CT-KIND to collect, share and store data using a more comprehensive document management solution; search for necessary Child Protective Services (CPS), law enforcement and judicial history; and communicate with their supervisors/managers from the field. The robust automated search functionality will be used by the Careline staff for virtually every referral that they receive. The staff will utilize automated address verification software, which is currently not available in the LINK system.

Additionally, the Careline processes requests for the Department's Voluntary and Re-entry Programs, as well as receives informational types of calls that may require referrals to other services within the community. In addition, this module will allow for the processing, recording and tracking of requests for official DCF Background Checks from outside entities with the option of using the planned DCF Portal. The DCF Background Check Unit at the Careline will process CPS check requests received for prospective employees, volunteers or caretakers from other agencies who work with children, such as school or day care staff, through automated batch processes, to send information to a requestor or agency. This includes checking the Central Registry Database records to determine if someone has a prior substantiation for child abuse or neglect.

The selected contractor must be aware of the federal standards and data requirements for the Careline including, but not limited to:

- Compliance with CCWIS data requirements (1355.52(b));
- Compliance with federal and state mandates for data collection (e.g., AFCARS, NCANDS, etc.); and,
- Collection of demographic information.

B. *Intake:* The Intake module will support automated assignments, system-driven assessment tools for safety and risk, case dispositions and Central Registry placement, and the ability to request/overturn accepted and non-accepted CPS referrals. Due to the limited timeframes associated with Intake (45 days to complete both FAR- and Investigation-type reports) and the crisis-oriented work, this module includes requirements aimed at decreasing redundancy, prefilling data and streamlining entry, mobile access, as well as protocols specific to the type of case. The DCF Portal will be beneficial to efficiently make referrals for services and support for families, complete requests for background checks, send/receive Probate Court filings and requests, and send/receive case and collateral contact information and documentation.

Alerts/notifications and dashboards will assist the staff in meeting the mandated responses and timeframes associated with the different types of Intake cases.

The Intake functionality in CT-KIND will provide a comprehensive assessment of the well-being and safety of families and children. This module is very often the initial contact that a family has with the Department, and where many of the comprehensive assessments are completed. Mobility is an important piece of this module in that it will allow social workers the flexibility to complete necessary work, including creating assessments, having forms signed on a mobile device, sending requests remotely for collateral contacts and performing essential searches in the field without having to go back to an office to complete their work. This automation will enable workers to make more accurate and complete assessments while allowing them to spend more time with clients in the field, as well as determining whether a family requires court intervention, further DCF intervention and/or community service support.

The selected contractor must be aware of the federal standards and data requirements for Intake including, but not limited to:

- Compliance with CCWIS data requirements (1355.52(b));
- Compliance with federal and state mandates for data collection (e.g., investigation disposition);
- Compliance with IV-E eligibility requirements (e.g., reasonable efforts to avoid placement and preserve families); and,
- Collection and verification of demographic information.

- C. *Case Planning:*** The Case Planning module within CT-KIND will allow DCF social workers to document a more comprehensive case plan than what is available in LINK, including pre-filling information from data already existing in the system and extracting information from interfaces. Namely, the new system will allow for greater flexibility in creating, monitoring, updating, and tailoring case plans to the child and family's needs as well as creation of functionality to allow for family and provider feedback directly in the case plan document. Additionally, this module includes functionality aimed at streamlining and enhancing the Administrative Case Review (ACR) process, scheduling ACRs and generating alerts and notifications associated with ACRs and case plans to ensure compliance with federal and state standards.

The selected contractor be aware of the federal standards and data requirements for Case Planning including, but not limited to:

- Compliance with CCWIS data requirements (1355.52(b));
- Compliance with federal and state mandates for data collection (e.g., demographic, legal, placement, reason for DCF involvement, etc.); and,
- Collection of permanency goals and concurrent planning.

- D. *Ongoing Services:*** The Ongoing Services module within CT-KIND will capture a wide variety of data points currently unavailable in LINK, and decreases redundancy of the work and data entry for all of the different types of case (in-home, out-of-home,

Adolescent Services, etc.). Namely, this module captures removal decisions, types of visitation, associated processes and supporting activities; and documents legal actions and activities, hearings and court orders, among many other categories of information. This module supports the permanency planning process by capturing the required assessments, meetings, narratives, and other relevant information. It also supports the identification, tracking and recording of DCF- and non-DCF-sanctioned placements. The CT-KIND application will be intuitive and integrate tools and checklists to assist staff in determining the specific needs of the family.

The selected contractor be aware of the federal standards and data requirements for Ongoing Services including, but not limited to:

- Compliance with CCWIS data requirements (1355.52(b));
- Compliance with federal and state mandates for data collection (e.g., visitation, placements, legal involvement, NYTD, etc.); and,
- Collection of family outcomes (e.g., case closed, referred to another agency, etc.).

E. *Person Management:* The Person Management module within CT-KIND will address DCF's need to create and maintain person-specific records for all persons served by and working with DCF. This module enhances not only person record management capabilities by including a relationship matrix for each person, it will also provide alerts/notifications with designated timeframes and configurable requirements. This module addresses the person specific topics of medical, dental, educational, behavioral health and Regional Resource Group (RRG) consultations for each person/family that receives DCF services. It also enhances DCF's ability to capture any child/youth on runaway status and interfaces with the National Center for Missing and Exploited children (NCMEC) to help in the recovery process. In addition, data exchanges/interfaces with other agencies will facilitate information sharing to improve the accuracy of person-related data.

The selected contractor must be aware of the federal standards and data requirements for Person Management including, but not limited to:

- Compliance with CCWIS data requirements (1355.52(b));
- Compliance with federal and state mandates for data collection (e.g., race, ethnicity, citizenship, AFCARS elements, etc.);
- Collection of interagency data points (e.g., runaways, human trafficking, etc.).

F. *Staff Management:* The Staff Management module within CT-KIND will primarily focuses on the creation and maintenance of worker records for both DCF and non-DCF staff (interns, consultants, etc.). The new system will improve DCF monitoring of the security/confidentiality access each worker is assigned and any changes in these assignments, and provide DCF with a more comprehensive training history for DCF staff. Most importantly, DCF will be able to continue to manage individual workloads in the new system by implementing an updated version of DCF's caseload weighting system to continue to assess staffing needs and work distribution.

The selected contractor must be aware of the federal standards and data requirements for Staff Management including, but not limited to:

- Compliance with CCWIS data requirements (1355.52(b));
- Compliance with federal and state mandates for data collection (e.g., training, staff assignments/ratios, etc.); and,
- Collection of additional IV-E claiming documentation (e.g., cost allocation, administrative operations, etc.).

G. *Provider Management:* The Provider Management module within CT-KIND will address DCF's need to create and maintain provider records for foster and adoptive homes, organizations, facilities, and programs providing services to children served by DCF. This module enhances not only provider record management capabilities, but also the licensing and relicensing of DCF providers by way of checklists, configurable alerts/notifications within designated timeframes, and expanded data points. This module also includes a resource directory to allow for matching of provider services to client needs, and differentiates the type, ranging from a DCF provider, a credentialed provider, a contracted provider, and other categories.

The selected contractor must be aware of the federal standards and data requirements for Provider Management including, but not limited to:

- Compliance with CCWIS data requirements (1355.52(b));
- Compliance with federal and state mandates for data collection (e.g., placement type, licensing, etc.); and,
- Collection of additional IV-E claiming documentation (e.g., permanency planning, reasonable efforts to avoid placement, etc.).

H. *Financial Management:* The Financial Management module within CT-KIND will enhance the integrity and maintenance capabilities of financial data as well as supports service/payment authorizations. The Department will continue to have two types of services, including pre-purchased slots that will be funded through the state's CORE-CT financial system, and fee-for-service slots that are expected to be funded through the CT-KIND. An automated process will be developed to reconcile activities between CT-KIND and the state system, as well as between CT-KIND and the banking institution. Additional activities revolve around payment of provider invoices, including check processing and overpayment recoveries. A related activity involves managing the service table and service types and rates, which identify both paid and non-paid services available for clients and record the criteria related to those services. The Trust Account activity involves managing Social Security income and savings for children and youth in DCF custody. CT-KIND will allow providers to access the DCF Portal to trigger invoicing activities, report utilization and limited placement information, and provide feedback to DCF and state and federal partners.

The selected contractor must be aware of the federal standards and data requirements for Financial Management including, but not limited to:

- Compliance with CCWIS data requirements (1355.52(b));

- Compliance with federal and state mandates for data collection (e.g., service types, rates and codes, PNMI claiming, etc.); and,
- Collection of additional data points and reports for other agencies (e.g., IRS, DRS, OPM, etc.).

- I. *Eligibility:*** The Eligibility module within CT-KIND will determine and redetermine IV-E foster care, adoption and guardianship subsidies as well as Services Post-Majority eligibility. Automated determinations of initial IV-E eligibility, and annual redeterminations required for all children residing in out-of-home care, and others, will be included in the functionality of this module.

The selected contractor must be aware of the federal standards and data requirements for Eligibility including, but not limited to:

- Compliance with CCWIS data requirements (1355.52(b));
- Compliance with federal and state mandates for data collection (e.g., assets, income, placement, etc.); and,
- Collection of data points and reports for other agencies (e.g., DSS, DPH, SSA, etc.).

- J. *Common Functions:*** The Common Functions module encompasses operations within the system that cross over to other modules (including technical) identified for CT-KIND, and are used across the board by different levels of staff and disciplines. They include background checks (criminal/CPS), case closures, expungement, case/collateral contacts, Considered Removal Child and Family Team Meetings (CR-CFTMs), case approvals/denials, automatic messages (alerts/notifications), checklists, worklists, case/work assignments, work dashboards, document management, evidence-based pictures, help, meetings, record merge (person/case), narrative/contact notes, reports (general), search (general), timeline of events, and DCF Portal (general). The new system will enhance many of the commonly used functions with a robust search engine across modules and agencies, enhanced and intuitive features to manage and expedite workload activities, and increased functionality to capture timely and accurate documentation. Additionally, the document management capabilities will reduce manual processes and paper records.

The selected contractor must be aware of the federal standards and data requirements for Common Functions including, but not limited to:

- Compliance with CCWIS data requirements (1355.52(b));
- Compliance with federal and state mandates for data collection (e.g., assignments, closures, etc.); and,
- Collection of data points and reports for other agencies (e.g., use of DCF portal).

- K. *Administrative:*** The Administrative module encompasses operations within the system that are centrally based and connected to Central Office functions, including: Ombudsman's processes, threat assessment/workplace violence incidents, risk management (significant events and critical incidents), adoption/decreed registry and search, Centralized Medical Consent Unit (CMCU), Interstate Compacts for Children

(ICPC, ICJ, ICMH, ICAMA), administrative reviews, hearings and appeals (e.g., request for review or hearing on a substantiated investigation), and adoption and guardianship subsidies. This module includes areas that need management over a period of time, but not necessarily case management. Some of the functions require continued oversight for payments, research, quality improvement, or eligibility. Some of the components of the Administrative module cross over to other functions embodied in the CT-KIND project, such as ICPC and adoption/guardianship subsidies related to the Ongoing Services module.

The selected contractor must be aware of the federal standards and data requirements for the Administrative module including, but not limited to:

- Compliance with CCWIS data requirements (1355.52(b));
- Compliance with federal and state mandates for data collection (e.g., AFCARS adoption elements, administrative hearings, etc.); and,
- Collection of data points and reports for other agencies and IV-E eligibility (e.g., finalization of adoption, efforts to avoid placement disruptions, etc.).

L. Other Components: Additional components which to be factored in include:

- Notifications, Alerts, Triggers and Automated Messages
- General Search Functionality
- Mobility
- Document Management and Retrieval
- Help Features
- Forms and Reports
- Training and Knowledge Transfer

For more information regarding federal CCWIS rules/regulations, please go to:

- <https://www.federalregister.gov/documents/2016/06/02/2016-12509/comprehensive-child-welfare-information-system>

IV. PROCUREMENT SCHEDULE:

The following timeframes have been established by DCF for the implementation of this project:

SOW Published	November 19, 2018
Deadline for Receipt of a Mandatory Letter of Intent*	November 30, 2018 by 3PM
Deadline for Submission of Questions	December 6, 2018 by 3PM
Questions and Answers to Vendors	December 13, 2018 by 3PM
Deadline for Receipt of Proposals	December 27, 2018 by 3PM
Anticipated Date of Contract Execution	January 17, 2019

* **Note:** A Letter of Intent is a requirement.

V. SOURCE OF FUNDS:

The services contained within this SOW will be funded by DCF based upon a competitive application process. This SOW will be supported by state funding which is dependent upon appropriations from the Connecticut General Assembly, Bonding Commission and Federal Reimbursement.

VI. PERIOD OF AWARD:

The funding period will be determined in conjunction with the vendor(s) based upon the anticipated start of the service; up to a 90 day contract with up to three (3) renewals will be executed. Continued funding will be contingent upon performance of the vendor(s) and the continued appropriation and availability of funds to the Department.

VII. AMOUNT AND TERMS OF AWARD:

The final amount and terms of the award will be negotiated with the successful applicant, based on the actual contract start date and within the allocated DCF budget for this piece of work. Applicants are to submit one (1) proposal for the Project Quality Assurance and Progress Reporting SOW.

VIII. DISPOSITION OF PROPOSALS:

The Department reserves the right to reject any and all proposals, or portions thereof, received as a result of this SOW, or to negotiate separately any service in any manner necessary to serve the best interests of the Department. The Department reserves the right to contract for all or any portion of the scope of work contained within this SOW if it is determined that contracting for a portion or all of the work will best meet the needs of the Department.

IX. ELIGIBILITY:

The applicant and any proposed subcontractor may not have a current licensing restriction or have been subject to any state agency licensing restriction within the last six (6) months, nor may the applicant have had a program terminated within the last three (3) years due to quality of care or other agency performance issues. A current investigation of Medicaid fraud or a judgment involving Medicaid fraud within the past five (5) years also excludes an applicant from participation. Proposals from applicants who appear on the United States General Services Administration Excluded Parties List will not be considered.

X. SUBCONTRACTING:

Subcontracting may be used per terms of the contract and per agency needs to ensure the services are continually available throughout the duration of the project. If an applicant is intending to submit a proposal in which a subcontractor will be utilized for some portion of a

service element, a justification for subcontracting and a detailed delineation of exactly what components of the service model the applicant versus the subcontractor will be providing must be included. The subcontractor must meet the eligibility criteria listed above. The selected vendor(s) will be fully accountable for the performance of the subcontractor.

XI. INSURANCE:

The selected vendor will carry insurance (liability, fidelity bonding or surety bonding and/or other) during the term of this contract according to the nature of the work to be performed to “save harmless” the State of Connecticut from any claims, suits or demands that may be asserted against it by reason of any act or omission of the vendor, subcontractor or employees in providing services hereunder, including but not limited to any claims or demands for malpractice. Certificates of such insurance shall be filed with the Department prior to the performance of services.

XII. QUESTIONS:

Answers to questions about this SOW will be responded to through a subsequent electronic “Question and Answer” method and period. Subsequent questions regarding the SOW and its content must be received by **3 p.m., local time, on Thursday, December 6, 2018** via email directed to Cheryl Cronan, e-mail: Cheryl.Cronan@ct.gov. The Department will send responses to all questions by **3 p.m., local time, on Thursday, December 13, 2018**.

Any form of ex parte contact regarding this SOW or any proposal being prepared or being considered under this SOW, whether directly or indirectly is hereby strictly prohibited. This includes, but is not limited to, any contact with any DCF employees asking them for advice, information, or support. Violations may result in the rejection of any and all proposals submitted under this SOW by such respondent(s). Any inquiries or requests regarding the SOW must be submitted to the Contact Person via the Question and Answer process noted herein.

XIII. LETTER OF INTENT AND CONTACT PERSON:

A non-binding Letter of Intent is required; no proposal will be reviewed from any respondent who has failed to submit a Letter of Intent within the specified time frame. Letters of Intent should be directed to and received by the contact person noted below no later than **3 p.m., local time, on Thursday, November 30, 2018**. Faxed or emailed copies of the Letter of Intent will be accepted by:

Cheryl Cronan
Department of Children and Families
505 Hudson Street
Hartford, CT 06106
Email: Cheryl.Cronan@ct.gov; Fax: 860-500-2526

Please notify the DCF contact person if, within twenty-four (24) hours of your having emailed or faxed your Letter of Intent to the Department, you have not received a confirmation of its receipt.

XIV. RECEIPT OF PROPOSAL DEADLINE:

The contact person below must receive one (1) original and eight (8) copies of each respondent's proposal to the SOW. The copies must be received no later than **3:00 p.m., local time on Thursday, December 27, 2018** as follows:

Cheryl Cronan
Department of Children and Families
505 Hudson Street
Hartford, CT 06106
Email: Cheryl.Cronan@ct.gov; Fax: 860-500-2526

Each copy must be complete, numbered, collated, and ready for reviewers. Please clip submissions; do not use binders. Please note that faxed or electronic versions (e.g., emailed) of the proposal will not be accepted. Also, **no proposals will be accepted for review after the due date and the time stated above.**

Applicants may submit a proposal to provide services as outlined in this SOW.

Applicants are to include the following with their proposals:

- A balanced and cost-effective budget and budget narrative;
- A description of key staff, inclusive of subcontractor information;
- The applicant's change order request process; and,
- Any supplementary appendices that augment the content of the proposal.

XV. SCOPE OF SERVICES:

The Scope of Services covered under this SOW includes a contractor for all who will be working with multiple vendors as well as compliance with applicable State and Federal laws, and DCF policies. The selected contractor must be able to provide an unbiased perspective on the progress of the CT-KIND application development, design, quality assurance/testing and implementation, inclusive of the integrity and functionality of the system. Additionally, the selected contractor must:

- Have a minimum of five (5) years experience with specific experience and resources to support this agile project (preferably, agile project management and knowledge of Agile Essential SAFe, CA Agile Central, etc.);

- Perform quarterly on-site assessments per terms of the contract;
- Be independent from the State and any selected vendors;
- Provide an initial assessment and follow-up reporting related to the project's incremental testing strategy, management and approach, as well as for assessments and reporting associated with each procurement;
- Perform independent software testing and reviews;
- Prepare and submit periodic progress reports throughout the life of the project aligned with the module/piece of work being implemented;
- Provide feedback on the technical design and progress against the project plans and timelines;
- Review and provide periodic reports on project risks, risk mitigation and progress;
- Monitor, review and verify all modules and components built for CT-KIND effectively support the business functions and efficient management for which they are designed;
- Monitor, review and verify all modules and components built for CT-KIND are functionality interoperable and satisfy all business, functional, non-functional and data requirements; and,
- Monitor, review and verify the CT-KIND solution meets DCF standards, policies and procedures, as well as state and federal regulations and guidelines.

The expected product deliverables will be in the form of reports provided to the Commissioner of DCF, fourteen (14) days after the completion of each ten (10) week Program Increment (PI). Reports will be iterative and updated throughout the life of the project, including but not limited to the following elements and details:

- Review and analysis of technical quality of the product being delivered and integration with the previously delivered CT-KIND software;
- Oversight to ensure adherence to the ACF Advanced Planning Document (APD) related to functionality and CCWIS requirements;
- Oversight to ensure adherence to project delivery dates and overall project compliance with the Roadmap schedule using Agile methodology;
- Provision of suggestions for realignment when schedules deviate from the projections;
- Projected budget adherence, financial fitness of the project and potential for cost overruns using Agile methodology;
- Provision of suggestions for realignment when spending deviates from budget projections;
- Analysis and updating of the Risk Matrix and identification of new variables to be considered by the Commissioner including suggestions to mitigate the identified risks; and,

- If applicable to a specific SOW, provide input on the payment of bonuses to Systems Integrators for that SOW based on performance criteria and delivered value.

The State will provide work space for the contractor. All other equipment needed for testing or administrative/clerical must be provide by the selected vendor. Any software, hardware or development tools paid by the State or ACF, regardless of whether directly procured by the State, ACF or by the selected vendor(s), shall be owned by the State and ACF, who reserve the right to request all assets to be transferred to the possession of the State and ACF. All code, artifacts, design, knowledge, training, materials, byproducts and other intellectual property produced and paid for by the State will be the property of the State and ACF.

For more information regarding Scaled Agile Framework and SAFe, go to:

<https://www.scaledagileframework.com/what-is-safe/>

XVI. SCORING CRITERIA:

A committee will review and score all proposals as part of the selection process. The following information listed in order of importance, in addition to the requirements, terms and conditions identified throughout this SOW document, will be utilized to evaluate whether and to what extent each proposal demonstrates competence, experience and professional qualifications to best meet the needs if the State:

- i. Responsiveness to the SOW including completeness of responses to the technical and functional oversight needed
- ii. Approach, Methodology and Deliverables
- ii. Organizational Capacity
- iii. Cost

Exhibit A: COVER SHEET

**DCF Project Quality Assurance and Progress Reporting Statement of Work (SOW) for the
CT-KIND
Comprehensive Child Welfare Information System (CCWIS)**

Name of Applicant/Vendor: _____

Address: _____

**Application/Vendor
Contact Person:** _____

**Contact Person Phone &
Fax:** _____

**Contact Person Email
Address:** _____

This application must be signed by the applicant's/vendor's executive director or other individual with executive oversight for services delivered in Connecticut

By submitting this application, I attest that all the information included within the application is true.

Signature: _____ Date: _____

Name (Printed) _____

Title: _____

**Exhibit B: LETTER OF INTENT
(NON-BINDING)**

Date: _____

This is to advise you that our agency/company is planning to submit a proposal for the DCF Careline Statement of Work (SOW) for the CT-KIND Comprehensive Child Welfare Information System (CCWIS) Agile Project.

AGENCY/VENDOR NAME:
FEIN:
AGENCY/VENDOR ADDRESS:
AGENCY/VENDOR CONTACT:
POSITION/TITLE:
TELEPHONE NUMBER:
FAX NUMBER:
EMAIL ADDRESS:

A Mandatory Letter of Intent must be received by 3:00 p.m. on Thursday, November 30, 2018 to the following person:

Cheryl Cronan
Department of Children and Families
505 Hudson Street
Hartford, CT 06106
Email: Cheryl.Cronan@ct.gov; Fax: 860-500-2526

Exhibit C: Subcontractor Profile

(COMPLETE FOR EACH SUB-CONTRACTOR -Use additional pages as needed)

Legal Name of Agency/Vendor:	
FEIN :	
Agency/Vendor Contact Person:	
Title:	
Address:	
Phone:	Fax:
Email:	
Amount of Subcontract:	

Brief description the subcontractor agency:

Description of services to be provided related to the scope of service for this SOW:

Justification of the use of subcontractor to meet the scope of service for this SOW:

Exhibit D: GENERAL PROPOSAL NOTICES AND REQUIREMENTS

A. Evaluation and Selection:

It is the intent of the Department to conduct a comprehensive, fair and impartial evaluation of proposals received in response to this procurement. Only proposals found to be responsive to the SOW will be evaluated and scored. A responsive proposal must comply with all instructions listed in this SOW. Responsive proposals shall remain valid for possible award by the Department for a period of up to twelve (12) months after the SOW's closing date.

B. Contract Execution:

The pursuant contract developed as a result of this SOW is subject to Department contracting procedures.

C. Applicant Debriefing:

The Department will notify all applicants of any award issued by it as a result of this SOW. Unsuccessful applicants may, within thirty (30) days of the signing of the resultant contract, request a meeting for debriefing and discussion of their proposal by contacting the DCF Contact Person. Debriefing will not include any comparisons of unsuccessful proposals with other proposals.

D. Conditions:

Any prospective applicants must be willing to adhere to the following conditions and must positively state them in the proposals:

- 1) **Conformance with Statutes:** Any contract awarded as a result of this SOW must be in full conformance with statutory requirements of State of Connecticut and the Federal Government.
- 2) **Ownership of Subsequent Products:** Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this SOW is to be sole property of the Department unless stated otherwise in the SOW or contract.
- 3) **Timing Sequence:** Timing and sequence of events resulting from this SOW will ultimately be determined by the Department.
- 4) **Oral Agreement:** Any alleged oral agreement or arrangement made by an applicant with any agency or employee will be superseded by a written agreement.

5) Amending or Canceling Requests: The Department reserves the right to amend or cancel this SOW, prior to the due date and time, if it is in the best interest of the Department and the State.

6) Rejection for Default or Misrepresentation: The Department reserves the right to reject the proposal of any applicant in default of any prior contract or for misrepresentation.

7) Department's Clerical Errors in Award: The Department reserves the right to correct inaccurate awards resulting from its clerical errors.

8) Rejection of Qualified Proposals: Proposals are subject to rejection in whole or in part if they limit or modify any of the terms and conditions and/or specifications of the SOW.

9) Applicant Presentation of Supporting Evidence: An applicant, if requested, must be prepared to present evidence of experience, ability, service facilities, and financial standing necessary to satisfactorily meet the requirements set forth or implied in the proposal.

10) Changes to Proposal: No additions or changes to the original proposal will be allowed after submittal. While changes are not permitted, clarification at the request of the agency may be required at the applicant's expense.

11) Collusion: By responding, the applicant implicitly states that they are submitting a separate response to the SOW, and is in all respects, fair and without collusion or fraud. It is further implied that the applicant did not participate in the SOW development process, had no knowledge of the specific contents of the SOW prior to its issuance, and that no employee of the Department participated directly or indirectly in the applicant's proposal preparation.

E. Proposal Preparation Expense:

The State of Connecticut and the Department assume no liability for payment of expenses incurred by applicants in preparing and submitting proposals in response to this solicitation.

F. Incurring Costs:

The Department is not liable for any costs incurred by the applicant prior to the effective date of a contract.

G. Freedom of Information:

Due regard will be given to the protection of proprietary information contained in all proposals received. However, applicants should be aware that all materials associated with this SOW are subject to the terms of the Freedom of Information Act, the Privacy Act, and all rules, regulations and interpretations resulting there from. It will not be sufficient for applicants to merely state generally that the proposal is proprietary in nature and not therefore subject to release to third parties. Those particular pages or sections, which an applicant believes to be proprietary, must be specifically identified as such. Convincing explanation and rationale sufficient to justify each exception from release consistent with Section 1-210 of the Connecticut General Statutes must accompany the proposal. The rationale and explanation must be stated in terms of the prospective harm to the competitive position of the applicant that would result if the identified material were to be released and the reasons why the materials are legally exempt from release pursuant to the above-cited statute. In any case, the narrative portion of the proposal may not be exempt from release. Between the applicant and the Department, the final administrative authority to release or exempt any or all material so identified rests with the Department.

H. Gratuities and Gifts:

The applicant warrants that no state appropriated funds have been paid or will be paid by or on behalf of the applicant to contract with or retain any company or person, other than bona fide employees working solely for the applicant, to influence or attempt to influence an officer or employee of any state agency in connection with the awarding, extension, continuation, renewal, amendment, or modification of this agreement, or to pay or agree to pay any company or person, other than bona fide employees working solely for the applicant, any fee, commission, percentage, brokerage fee, gift or any other consideration contingent upon or resulting from the award or making of this agreement.

By submitting a response for selection and/or award consideration to this procurement, the applicant certifies that no elected or appointed official or employee of the State of Connecticut has or will benefit financially or materially from this contract. The Department may terminate a resulting contract if it is determined that gratuities of any kind were either offered or received by any of the aforementioned officials or employees from the applicant or its agents or employees, including any subcontractors.

In general, no one doing business with or seeking business from a state or quasi-public agency may give a gift to an official or employee of that agency. Connecticut's gift ban is strict, but has some exceptions. For example, under the Ethics Code, you may give: (1) food and drink up to \$50 per person per year, if the person paying, or his or her representative, is in attendance; and (2) tangible gifts up to \$10 per item up to \$50 per person per year. Also exempt are certain items such as informational materials or plaques costing less than \$100. For a complete list of the Code's gift exceptions, consult Conn. Gen. Stat. § 1-79(e) or contact the Office of State Ethics.

Gifts for “major life events,” including a wedding or the birth of a child, which were previously exempt from the gift ban, are now subject to the strict gift limits outlined above if the gifts are provided by any individual or entity doing business with or seeking business from the state.

I. Disclosure of Consulting Agreements:

A consulting agreement affidavit must accompany submissions for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Section 51 of Public Act 05-287. All such submissions must be accompanied by an affidavit in which the applicant discloses any agreement retaining the services of a consultant to assist in the applicant's participation in the procurement process. For additional information regarding the types of consulting agreements that must be disclosed in the affidavit and the required content and form of the affidavit, please see the attached “Consulting Agreement Affidavit.”

J. Campaign Contribution(s):

With regard to a State contract as defined in P.A. 07-1 having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this submission in response to the State's solicitation expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising prospective state vendors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice.

Exhibit E: STATE ELECTIONS ENFORCEMENT COMMISSION (SEEC)

This notice is provided under the authority of Connecticut General Statutes § 9-612(g)(2), as amended by P.A. 07-1, provides in part that no state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate or with a regard to a state contract or state contract solicitation with or from the General Assembly or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to a party committee.

In addition, pursuant to Connecticut General Statutes § 9-610, no communicator lobbyist, member of the immediate family of a communicator lobbyist, or political committee established or controlled by a communicator lobbyist or a member of the immediate family of a communicator lobbyist shall make a contribution or contributions to, or for the benefit of a party committee.

*The contribution ban does not apply to the campaign of a communicator lobbyist, immediate family member of a communicator lobbyist or agent of a communicator lobbyist who is a candidate for public office or to an immediate family member of a communicator lobbyist who is an elected public official. Under those limited circumstances, the certification provided above is not required. See C.G.S. § 9-610.

Definition of Terms:

"State contract:" an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes. See C.G.S. § 9-612(g)(1)(C), as amended by P.A. 07-01.

"State contractor:" a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee. See C.G.S. § 9-612(g)(1)(D), as amended by P.A. 07-01.

"Prospective state contractor:" a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative

Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee. See C.G.S. § 9-612(g)(1)(E), as amended by P.A. 07-01.

"Principal of a state contractor or prospective state contractor:" (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has managerial or discretionary responsibilities with respect to a state contract, (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor. See C.G.S. § 9-612(g)(1)(F), as amended by P.A. 07-01.

"Communicator Lobbyist:" an individual or entity that is registered with the Office of State Ethics and the term "communicator lobbyist" is defined by Section 1-91 of the Code of Ethics for Lobbyists. A "communicator lobbyist" receives or agrees to receive \$2,000 or more in a calendar year for lobbying. See C.G.S. § 1-91(u).

"Immediate family:" The spouse or a dependent child of an individual. See Conn. Gen. Stats. Section 9-601(24). Please note, "spouse" as used above includes partners to a civil union pursuant to C.G.S. § 46b-38aa, et al.

"Dependent Child:" a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax return of such individual. See C.G.S. § 9-612(g)(1)(G), as amended by P.A. 07-01.

Campaign Contribution and Solicitation Ban:

No state contractor or prospective state contractor with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or *solicit* contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee; In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative,

(ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

Duty to Inform:

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

Penalties for Violations:

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

- Civil penalties--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a Coordinator. Any state Coordinator or prospective state Coordinator which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.
- Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

Contract Consequences:

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided. Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation. The State will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec.



**STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT**

Exhibit F:

Affidavit to accompany a State contract for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b)

INSTRUCTIONS:

If the bidder or vendor has entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete all sections of the form. If the bidder or vendor has entered into more than one such consulting agreement, use a separate form for each agreement. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public. **If the bidder or vendor has not entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1):** Complete only the shaded section of the form. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public.

Submit completed form to the awarding State agency with bid or proposal. For a sole source award, submit completed form to the awarding State agency at the time of contract execution.

This affidavit must be amended if the Coordinator enters into any new consulting agreement(s) during the term of the State contract.

AFFIDAVIT: [Number of Affidavits Sworn and Subscribed On This Day: ____]

I, the undersigned, hereby swear that I am the chief official of the bidder or vendor awarded a contract, as described in Connecticut General Statutes § 4a-81(a), or that I am the individual awarded such a contract who is authorized to execute such contract. I further swear that I have not entered into any consulting agreement in connection with such contract, **except for the agreement listed below:**

Consultant's Name and Title		Name of Firm (if applicable)	
Start Date	End Date	Cost	
Description of Services Provided:			

Is the consultant a former State employee or former public official? ☐ YES ☐ NO

If YES: _____

Name of Former State Agency

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Termination Date of Employment

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Printed Name of Bidder or Vendor **Signature of Chief Official or Individual** **Date**

Printed Name (of above) Awarding State Agency

Sworn and subscribed before me on this _____ day of _____, 200__.

Commissioner of the Superior Court or Notary Public

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[illegible]